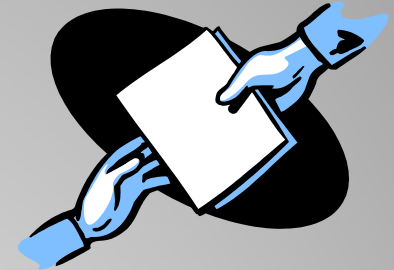


# TOTAL ARMY PERFORMANCE EVALUATION SYSTEM (TAPES)

**“THE TRANSITION: FROM NSPS BACK TO TAPES”**



# PERFORMANCE MANAGEMENT



## DEFINITION:

Performance management is the systematic process of integrating performance, pay, and awards systems to improve individual and organizational effectiveness in the accomplishment of Army mission and goals.

# PERFORMANCE MANAGEMENT





# **Learning Objectives:**

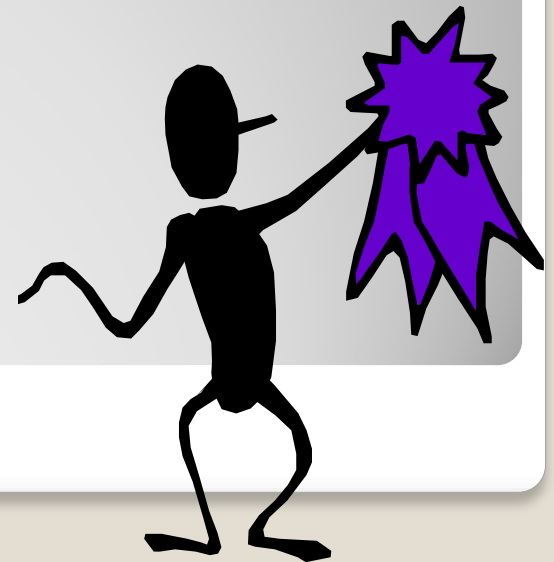
- \*Understand the basic principles of Performance Management under TAPES**
- \*The ability to apply the rules and regulations to appropriately rate/evaluate employees**

**TAPES (AR 690-400)  
Incentive Awards (AR 672-20)**

# NSPS → TAPES

## What's Similar?

- objectives that are mission aligned
- open and continuous communication
- performance accountability
- recognition and rewards



# SYSTEM OVERVIEW

- SENIOR SYSTEM
- BASE SYSTEM
- RATING CYCLE/PERIOD
- RATING CHAIN



# Commanders (and equivalent leaders) Responsibilities

- Ensure fair and consistent application
- Develop and communicate organizational goals and priorities
- Discuss and exhibit DA values
- Ensure that Ratees are informed of the individuals in their rating chains
- Ensure that Military and Civilian raters receive TAPES training
- Ensure timely preparation of written performance plans/appraisals
- Monitor the performance management program



# Management's Responsibility



- To define and communicate performance/job requirements
- To provide counseling and coaching
- To providing job related training (if feasible)
- To exhibit DA values, assuring they are visible



# **Management's Responsibility (Cont...)**

- To provide corrective and formative feedback
- To evaluate work products
- To discipline (when necessary)
- To set AND maintain the tone/pace

# Employee's Responsibility

- To learn what is expected and perform the duties of their position
- To discuss ideas about work, army values, and professional development goals
- To perform to the level required of their position



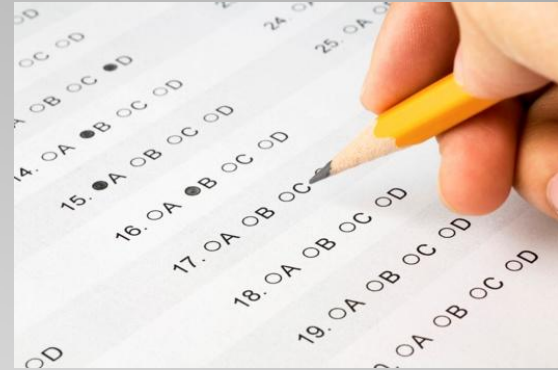
## **Employee's Responsibility Cont...**

- To take an active role in developing their performance plan
- To inform their supervisor when they have questions/needs, problems or process improvements
- To provide their supervisor with timely feedback on accomplishments

# **THE SENIOR SYSTEM**



# Senior System Rating Cycle



- GS/WS- 13's and above 1 Jul-30 Jun
- GS/WS- 9 thru 12 1 Nov-31 Oct

**120 Day Rule!!**

# Performance Objectives

**S.M.A.R.T is still smart!**

**SPECIFIC**

**MEASURABLE**

**ALIGNED**

**RELEVANT**



**TIMED**

# Performance Objectives Cont...

**Specific**- clear and understandable terms

**Measurable**- quantitative, results oriented

**Aligned**- mission-linked; descriptive in scope, nature, complexity and purpose

**Relevant**- directly connected to essential functions of the job; challenging yet realistic

**Timed**- assigning milestones



# TYPES OF OBJECTIVES

## Routine

addresses repetitive  
commonplace duties

## Problem Solving

deals with difficult  
situations



## Innovative

creates new/improved  
methods

## Personal Development

furtheres professional  
growth





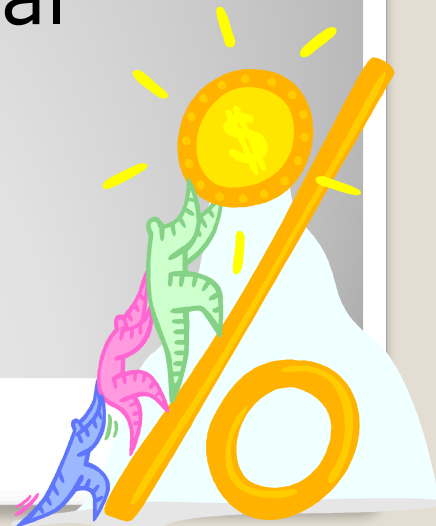
# DA Performance Standards

- Technical Competence
- Innovation/Initiative
- Responsibility/Accountability
- Working Relations
- Communication
- Supervisors/Managers: Organizational Management/Leadership and EEO/AA \*\*

**\*\*Required for managers/supervisors\*\***

# DA Form 7222-1

- Employee must have a valid support form within 30 days of beginning of rating period
- Employee submits objectives to supervisor for discussion
- All objectives are considered critical
- Working document
- Senior rater has final approval



# Initial Performance Counseling

- Within 30 days of the rating period
- Supervisor explains...
  - Employee's role in mission
  - Expectations
  - Career goals
  - DA values
  - Training needs

# Initial Performance Counseling

(Cont...)

- Employee and supervisor discuss and agree to performance objectives
- If disagreement, supervisor decides
- Support form be supplemented with additional sheets of paper
- Documents discussion (Part III)
  - Employee and supervisor initial/date

# **Objective/Responsibility Ratings**

## **EXCELLENCE**

- **Consistently exceeds level described by standards and documented expectations; frequently produces more and/or better than expected.**

## **SUCCESS**

- **Usually performs at the level described by the standards and documented expectations. Quality/quantity of accomplishments are generally at expected levels. Strengths clearly outweigh weaknesses.**



# **Objective/Responsibility Ratings**

**(Cont...)**

## **NEEDS IMPROVEMENT**

- Sometimes performs at level described by standards and documented expectations. However, fails enough so that weaknesses slightly outweigh strengths.

## **FAILS**

- Frequently fails to perform at levels described by standards and documented expectations. Rarely achieves expected results. Weaknesses clearly outweigh strengths.



# Midpoint Counseling

- **Mandatory discussion must occur in the middle of the rating cycle**

## DISCUSSION

- **Objectives and accomplishments**
- **Training completed or to be scheduled**
- **DA Values**
- **Identifies deficiencies and discusses remedies**



# **Midpoint Counseling (Cont...)**

**\*\*Mandatory discussion that must occur in the middle of the rating cycle\*\***

## **Discuss...**

- **Objectives and accomplishments**
- **Training completed or to be scheduled**
- **DA Values**
- **Identifies deficiencies and discusses remedies**

## **Supervisor makes notes on support form**

- **Add/change objectives**
- **Annotate accomplishments**

## **Employee and Supervisor date/initial**



# End of Rating Cycle

- Employee should provide timely feedback
- If employee fails to provide feedback, the rating chain will complete the evaluation without it

## **Bullets are required for...**

- Objectives rated EXCELLENCE
- Objectives rated below SUCCESS

## **Bullets are encouraged for...**

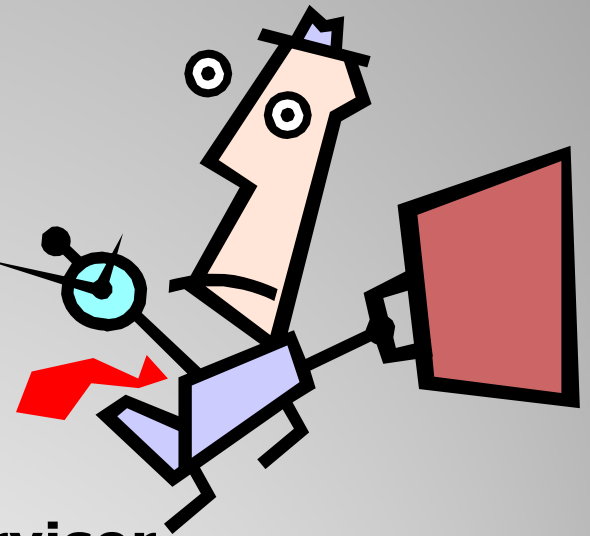
- Objectives rated SUCCESS

**No more than 2 Lines per bullet**



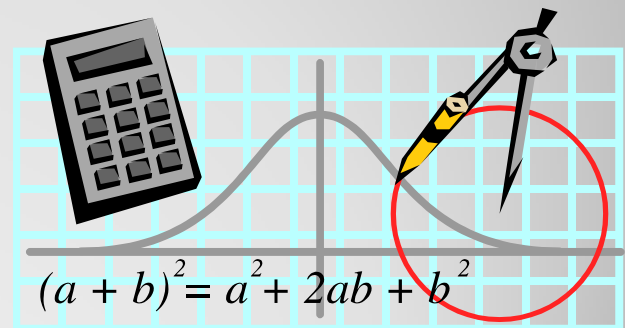
# Senior Rater

- Reviews rated objectives/bullets
- Reviews significant contributions
- If concurs, assigns overall rating
- If disagrees, discusses with supervisor
- Provides bullet examples
- Senior rater has *final* say



# Overall Rating Formulas

**Overall Performance Ratings are derived from formulas that establish how Objectives and Responsibilities rating determine the Overall Performance Rating.**



# **Senior System (Overall Rating)**

## ***Level 1, Non-Supervisory***

- **rated EXCELLENCE in 75% or more of the Objectives and SUCCESS in the remaining Objectives**

## ***Level 1, Supervisory***

- **rated EXCELLENCE in 75% or more of ALL Objectives which must include EXCELLENCE ratings for either Organizational Management/Leadership Objective(s) or EEO/AA Objective(s) and SUCCESS in the others**

**(LEVEL 5 in 5 CFR, Part 430)**

# **Senior System (Overall Rating)**

## ***Level 2, Non-Supervisory***

- **rated EXCELLENCE in 25-74% of rated Objectives and SUCCESS in the remaining Objectives**

## ***Level 2, Supervisory***

- **rated EXCELLENCE in 25-74% of ALL Objectives which include EXCELLENCE ratings for either Organizational Management/Leadership Objective(s) or EEO/AA Objective(s) and at least SUCCESS in the others**

**(LEVEL 4 in 5 CFR, Part 430)**

# **Senior System (Overall Rating)**

## ***Level 3, Non-Supervisory***

- **rated SUCCESS in all rated Objectives or EXCELLENCE in 1-24% and SUCCESS in remaining Objectives**

## ***Level 3, Supervisory***

- **rated EXCELLENCE in any number of Objectives but SUCCESS in those Objectives for both Organizational Management and Leadership and EEO/AA**

**(LEVEL 3 in 5 CFR, Part 430)**

# Senior System (Overall Rating)

## *Fair*

- rated **NEEDS IMPROVEMENT** in 1 or more Objective(s) and **NOT RATED FAILS IN ANY**

**(LEVEL 2 in 5 CFR, Part 430)**

# Senior System (Overall Rating)

## *Unsuccessful*

- Rated FAILS in 1 or more Objective(s) regardless of ratings assigned to other Objectives

**(LEVEL 1 in 5 CFR, Part 430)**



# Final Counseling

- Supervisor discusses rating with employee
- Employee is the last to sign rating
- Original is issued to employee
- Copy sent to CPAC w/support form
- Ensure timely performance awards are submitted



# General Information

- **Performance discussion within 30 days:**
  - Start of the rating cycle
  - New employee
  - Change in position
  - New supervisor
- **Must have valid plan signed by senior rater**
- **Must perform under a plan for 120 days before employee can be rated**



# THE BASE SYSTEM



# Base System



## Rating Cycle

- GS/WG or WL-6 thru 8 1 Nov–31 Oct
- GS/WG or WL-1 thru 5 1 Nov-31 Oct

# DA Form 7223-1

Initial face-to-face counseling

- Within first 30 days
- Supervisor/employee discussion
- DA Values
- Key Points
- Senior rater reviews checklist



# **(Cont...)**

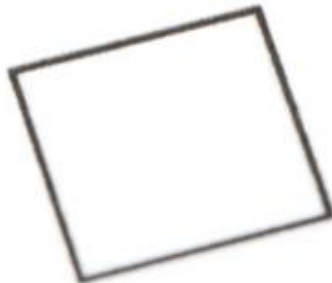
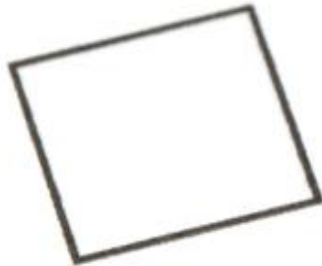
## **Midpoint Counseling**

- **Mandatory**
- **Supervisor/employee discussion**
- **Key Points**
- **Supervisor/employee initial/date**
- **If significant changes occur, senior rater reviews**



# Evaluation Report

DA Form 7223



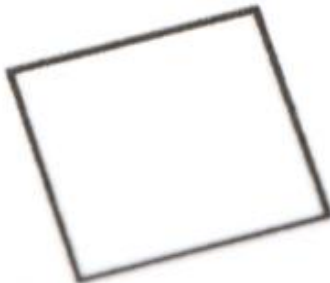
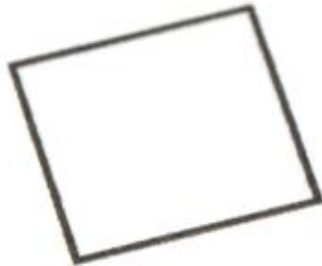
- **DA Values**
- **Rating responsibilities**
  - Excellence
  - Success
  - Needs improvement
  - Fails



# Evaluation Report

DA Form 7223

(Cont...)



## Bullet Examples

- Supervisor writes
- Required bullets for EXCELLENCE and below SUCCESS
- Bullets encouraged for SUCCESS



# **Base System (Overall Rating)**

## ***Level 1, Non-Supervisory***

- **rated EXCELLENCE in 3 or more Responsibilities and SUCCESS in the remaining Responsibilities**

## ***Level 1, Supervisory***

- **rated EXCELLENCE in 4 or more Responsibilities with at least 1 that must be either supervision/leadership or EEO/AA and SUCCESS in the remainder**

**(LEVEL 5 in 5 CFR, Part 430)**

# **Base System (Overall Rating)**

## ***Level 2, Non-Supervisory***

- **rated EXCELLENCE in either 2 or 1 Responsibilities and SUCCESS in the remaining Responsibility**

## ***Level 2, Supervisory***

- **rated EXCELLENCE in either 2 or 3 Responsibilities with at least 1 that must be either supervision/leadership or EEO/AA and SUCCESS in the remainder**

**(LEVEL 4 in 5 CFR, Part 430)**

# **Base System (Overall Rating)**

## ***Level 3, Non-Supervisory***

- **rated SUCCESS in all rated Responsibilities**

## ***Level 3, Supervisory***

- **rated EXCELLENCE in 1 or more Responsibilities but SUCCESS in both supervision/leadership and EEO/AA  
OR rated SUCCESS in all Responsibilities and  
EXCELLENCE in either supervision/leadership or  
EEO/AA**

**(LEVEL 3 in 5 CFR, Part 430)**

# Base System (Overall Rating)

## *Fair*

- rated **NEEDS IMPROVEMENT** in 1 or more Responsibilities and **NOT RATED FAILS IN ANY**

**(LEVEL 2 in 5 CFR, Part 430)**

# **Base System (Overall Rating)**

## ***Unsuccessful***

- **Rated FAILS in 1 or more Responsibilities regardless or ratings assigned remaining Responsibilities**

**(LEVEL 1 in 5 CFR, Part 430)**

# Final Performance Counseling

- **Supervisor/employee discussion**
- **Employee signs/dates**
  - Signature does not mean agreement



## **Within Grade Increases (WGI)**

- **Federal Wage System (FWS) employees advance automatically with a current rating of record of at least successful (Level 3) so long as they satisfy the appropriate waiting period**
- **General Schedule (GS) employees must also be rated at least successful (Level 3) to receive a WGI and must also satisfy the appropriate waiting period**



# **Cash Awards for Performance**

## **PART III (on both DA Form 7222 and 7223)**

- **All employees rated at Successful Level 3 or higher are eligible for consideration for Performance Awards. Supervisors should grant such awards to those who deserving based on merit and who have not been otherwise rewarded for their contributions**
- **Only GS employee rated Successful Level 1 are eligible for Quality Step Increases (QSI), which are one-step increases to base pay.**





# Needs Improvement

*COUNSEL EARLY AND FREQUENTLY*

*DOCUMENT/CLARIFY*

*KEEP WORK PRODUCTS*

*COACH TOWARD SUCCESS*



# Needs Improvement (Cont...)

- At any time during the rating cycle that the employee is determined to “need improvement” in 1 or more Objectives/Responsibilities, they should be provided closer supervision assistance/guidance/training
- If performance has dropped below level 3, notify CPAC 90 days prior to WGI due date
- Formal letter to employee explaining reasons for WGI denial
- Appeal rights to MSPB



**\*\*IMPORTANT\*\***

Documentation and counseling is **ESSENTIAL** in supporting the WGI denial

# Fail

## LEVEL 5

- **Same counseling process for “needs improvement”**
- **Formal letter issued addressing deficiencies and expectations**
- **120-day opportunity to improve**
- **More direct guidance provided**
- **Documentation gathered during PIP**



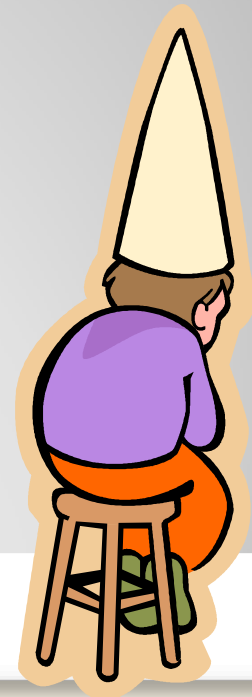
# **Performance Improvement Period (PIP)**

## **Consequence for poor performance**

- **Change to a lower grade**
- **Reassignment**
- **Removal**

## **Keep in mind**

- **MSPS appeal rights**
- **Grievance procedure(s)**
- **EEO rights**



# QUESTIONS

